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National Laboratory

LANSCE Division
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TA-53 Facility Implementation Requirement
Incident Reporting and Lessons Learned
53 FIR 120-01.0

Effective date: June 15, 1999

APPROVAL

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1.0 Introduction

Investigation and reporting of abnormal occurrences is required by DOE Order 232.1A on Occurrence Reporting and Processing of Operations Information, and 5480.19 Conduct of Operations Requirements for DOE Facilities. Additionally, such reporting is also required by 10 CFR 830.350 for operational occurrences at nuclear facilities. Director's Policy 120 states that the Laboratory shall maintain a reporting system that assures that both DOE and Laboratory managers are informed of occurrences that could

- affect the health or safety of the public or Laboratory workers,
- have a noticeable adverse effect on the environment,
- impact security, or
- have a serious impact on the Laboratory's ability to achieve its mission.

Reporting occurrences is done for two reasons: to inform line managers of conditions which may require correction, mitigation and further reporting to Laboratory or DOE management, and to ensure that formal investigation into the causes of the occurrence is done so that processes can be improved and corrective actions can be taken to prevent or reduce the frequency of similar occurrences within Facility Management Unit 61, the Laboratory, and throughout the DOE complex.

In addition to the reporting of certain occurrences, it is good practice to investigate the causes of any incident or abnormal event that has the potential for harm to personnel or the environment, and to derive lessons learned that aid in the improvement of management systems and equipment related to safety.

2.0 Purpose

The purpose of this procedure is to ensure that the process for reporting, categorizing, and investigating events and conditions that may meet the criteria for reporting under DOE Orders is understood and followed at FMU 61. It also describes the process for timely notifications, conduct of critiques, and development of lessons learned.

3.0 Scope

This document applies to all FMU 61 activities and organizations. It also applies to organizations that may not be FMU 61 tenants but are involved in incidents or occurrences at FMU 61.

4.0 Definitions

Facility Management Unit (FMU) 61 — FMUs are "owned" by a Division Director and managed by a Facility Manager on behalf of the owning DD. FMU 61 lies

entirely within TA-53, is under LANSCE-DO as landlord, and consists of all structures therein, except for those specifically owned by the Infrastructure & Utilities FMU.

Facility Manager (FM) — That individual who has responsibility for the operation of a facility or group of related facilities, including authority to direct physical changes to the facility.

Facility Manager Designee (FMD) — That person who has been delegated responsibility for the operation of a facility or group of facilities by the FM. FMD duties are primarily related to occurrence reporting and follow-up.

Facility Representative (FR) — A DOE field office individual (or his/her designee) assigned responsibility by the head of the field organization for monitoring the performance of the facility and its operations. This individual is the primary point of contact with the contractor and is responsible to the appropriate program secretarial officer (PSO) and the head of the field organization for implementing the requirements of DOE Order 5000.3B/232.1.

Incident—Any unexpected, unplanned, or non-routine event or condition which, if left unresolved, could result in detrimental consequence to personnel, property, the environment, public relations, or security concerns. Incidents may further be defined as those 1) requiring professional emergency response resources or 2) not requiring professional emergency response resources.

Occurrence Investigator — An individual from ESH-7, Occurrence Investigating and Reporting, who is assigned to work with the FM (or FMD) from the time of initial notification, through the causal analysis part of the process in determining the facts surrounding an occurrence. The occurrence investigator enters reports into ORPS on behalf of the FM (or FMD).

Off-Normal Occurrence — An abnormal or unplanned event or condition that adversely affects, potentially affects, or is indicative of degradation in the safety, security, environmental, or health protection performance or operation of a facility.

Unusual Occurrence — Non-emergency occurrence that has significant impact or potential for impact on safety, health, environment, security, or operations. Unusual Occurrences require an oral notification to DOE Headquarters and the DOE Albuquerque Field Office.

5.0 Responsibilities

5.1 Overall Responsibility

Categorization of occurrences and coordination with the Occurrence Investigation and Reporting group, ESH-7, and with the DOE Facility Representative is the responsibility of the TA-53 Facility Manager and his/her Designees.

5.2 Specific Responsibilities

If you are...	You will...
Performing work at FMU 61 (TA-53)	<p>In any incident or abnormal event, first ensure your own safety, and then the safety of co-workers.</p> <p>Call 911 if emergency assistance is needed.</p> <p>Advise your supervisor or manager as soon as possible after an incident. Notification of non-emergencies to your supervisor/manager may be made at the beginning of the next working day (sooner if required by group management).</p> <p>Participate in critiques and investigations as requested.</p>
A supervisor	<p>Notify your line management as soon as possible after receiving notice of an incident.</p>
A line manager	<p>Notify the TA-53 Facility Manager/Facility Manager Designee and the LANSCE Division Office as soon as possible after receiving notice of an incident.</p> <p>As applicable, notify the program/project office sponsoring the work.</p> <p>Participate in critiques and investigations as requested.</p> <p>Participate in development of lessons learned.</p> <p>Assume responsibility for corrective actions arising from incidents and occurrences.</p> <p>Discuss incidents and lessons learned during group meetings as appropriate. Incorporate relevant lessons into work practices.</p>

The Facility Manager	<p>Maintain a schedule of FMDs on-call and ensure that all TA-53 organization offices, the FMDs, the Laboratory Emergency Management and Response office (EM&R), and ESH-7 are provided with copies of the schedule.</p> <p>Provide TA-53 personnel with a single 24-hour incident reporting phone number to contact the FMD.</p> <p>Provide a communications device to on-call FMDs to ensure their availability in case of a possible occurrence.</p> <p>Ensure that lessons learned and performance assurance data are disseminated.</p> <p>Ensure that LANSCE participates in the Laboratory lessons learned program.</p>
The Facility Manager or Facility Manager Designee	<p>Ensure that you can be contacted when on call.</p> <p>When notified of an incident or potential occurrence,</p> <ul style="list-style-type: none"> • ensure the event or condition is stabilized, • notify EM&R, or alternatively, the in event there is no emergency, notify ESH-7, • ensure that the LANSCE Division Office has been notified, • notify the DOE Facility Representative, • make other notifications as required by DOE Orders. • categorize the occurrence as to whether and at what severity it meets DOE reporting criteria, • schedule and participate in occurrence critiques and assist in investigations to the extent necessary to ensure completeness, • ensure invitations to critiques are sent to the LANSCE DD or designee, the DOE FR, ESH-7, involved parties and their line management, and appropriate SMEs, • approve the notification report, update reports, and final report, • with other line management input, provide an evaluation of the occurrence and its effect on the facility, system, program, etc., and a lessons learned statement for the occurrence report.

The LANSCE Division Director or his designee	<p>Report incidents to DLDOPS and ALDSSR as necessary in accordance with Laboratory procedures.</p> <p>Attend critiques and, as appropriate, arrange for discussion of incidents or lessons learned at management meetings.</p> <p>Participate with Facility Management in determining reportability and categorization of reportable occurrences.</p> <p>Provide guidance on which incidents merit development and dissemination of lessons learned.</p>
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NOTE: Examples of outstanding safety performance or safety successes should be also reported as soon as possible to the LANSCE Division Director so that involved personnel can be recognized and lessons learned shared.

5.3 Transfer of Responsibility

FMDs on-call may arrange for transfer of responsibility for specific occurrences to one of the other trained FMDs. Reporting deadlines shall not be missed as a result of a transfer of responsibility. The FMD on-call must follow the reporting and notification process until the alternate FMD is on the scene and prepared to assume responsibility.

6.0 Scheduling Facility Manager Designees On-Call

Facility Managers Designees are selected from LANSCE-FM staff. The Facility Management Office administrator prepares and distributes a monthly FMD schedule to the FMDs, to all organization offices at the facility, to EM&R, and to ESH-7. Upon notification of a change in the FMD schedule, the office administrator will issue a revised schedule.

7.0 Training

The Facility Manager, Facility Manager Designees and personnel acting as DD-LANSCE representative in occurrence critiques, must be trained in the Laboratory's Occurrence Investigating and Reporting course # 6206. This training is scheduled through ESH-7, and is required prior to performing occurrence investigating and reporting duties when the Laboratory implementation of the program is significantly changed. TA-53 workers receive training on notification requirements through facility specific training and group meetings.

8.0 Records

Official records of all reportable occurrences are kept on the Occurrence Reporting and Processing System (ORPS), operated by the DOE. Local records with supplementary information are maintained by ESH-7. The TA-53 Facility Management Office also maintains files of notification, update, and final reports as entered into ORPS, lessons learned, and other relevant information.

9.0 References (use superseding documents where appropriate)

- DOE Order 232.1A, *Occurrence Reporting and Processing of Operations Information* [DOE Manual 232.1-1A (same title as the order), July 21, 1997]
- LANL Director's Policy 120, *Occurrence Reporting*, April 13, 1992
- LANL Program Requirements Document PRD120-01.0, *Occurrence Investigating and Reporting Program*, April 20, 1994
- LIR 201-00-04, LANL Incident Reporting Process
- LS 120-01, Occurrence Investigating and Reporting
- LANL Occurrence Investigating and Reporting Manual, ESH-7-94:120-01.0, August 1994

10.0 Attachments

- Attachment 1 TA-53 Facility-Specific Interpretations of the Los Alamos Categorization Matrix
- Attachment 2 Partial List of Events Reportable to DOE
- Attachment 3 Notification Flow Chart

TA-53 Facility Implementation Requirement	<i>Incident Reporting and Lessons Learned</i> Attachment 1	53 FIR 120-01.0 Effective Date: 6/15/99 Page 1 of 1
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Attachment 1

Facility-Specific Interpretations of Reporting Criteria

Category 1.D. Loss of control of radioactive material or spread of radioactive contamination

Movement of suspect, or even known, radioactive material into an uncontrolled area for the purpose of conducting a radiation survey in a low-background area prior to the release of the material is not reportable as long as the material itself remains under control.

Category 1.I. Operations

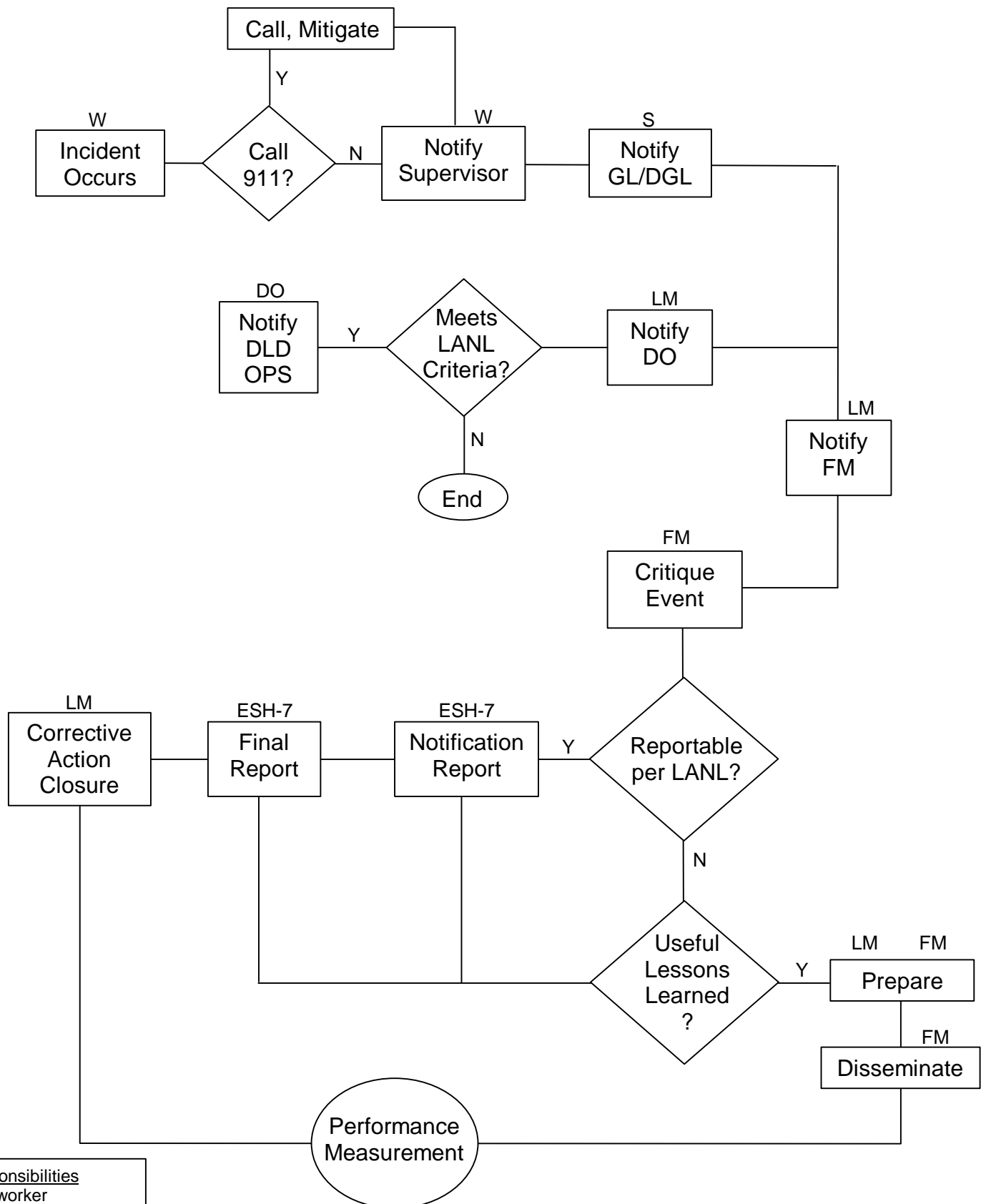
RSS trips caused by an event, whether inadvertent, conscious, or deliberate, that result in proper performance of the RSS to mitigate/eliminate the hazard to personnel are not reportable if no actual unsafe condition results from the event. Should all but one remaining barrier to an actual unsafe condition be compromised, the event should be considered for reporting under category 9.B. Cross Category Items (Near-Miss).

Attachment 2

Partial List of Events Potentially Reportable to DOE

(provided for guidance only; for complete list see current LANL categorization matrix)

- Fires or explosions
- Violations of operational/technical safety requirements, operation outside of an approved safety envelope or design basis
- Loss of control of radioactive materials
- Personal skin or clothing contamination
- Internal exposures
- Contamination in areas not posted as controlled for contamination
- Failure or performance degradation of equipment important to safety
- Violation of procedures that could result in adverse effect on safety
- Actuation of safety systems in appropriate response to an abnormal condition
- Release of regulated substance that is reportable to a regulatory agency
- Occupational illness/injury resulting in inpatient hospitalization
- Stop work order caused by OSHA violation
- Chemical exposure over OSHA action levels
- Criminal activity, theft of government property, vandalism, discovery of suspicious device
- Loss of control of classified matter
- DOT non-compliances
- Damage to DOE/LANL property exceeding \$10,000
- Deficiencies resulting in program delays of over one month



Responsibilities

W = worker
S = supervisor
LM = Line Manager
FM = Facility Manager